

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	1488.0840002/EKS/GLL
First Inventor	Li et al.
Title	Human Amine Receptor
Express Mail Label No.	

PTO
09/20/01
11/20/01**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17)
-
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
-
- See 37 CFR 1.27.

- 3.
- ☒
- Specification [Total Pages 56]

(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

- 4.
- ☒
- Drawing(s) (35 U.S.C. 113) [Total Sheets 3]

Oath or Declaration [Total Pages 2]

- a.
- ☐
- Newly executed (original or copy)

- b.
- ☒
- Copy from a prior application (37 CFR 1.63(d))
-
- (for continuation/divisional with Box 18 completed)

- i.
- ☐
- DELETION OF INVENTOR(S)**
-
- Signed statement attached deleting inventor(s)
-
- named in the prior application, see 37 CFR §§
-
- 1.63(d)(2) and 1.33(b).

- 5.
- ☒
- Application Data Sheet. See 37 CFR 1.76.

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or Computer Program
-
- (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
-
- (if applicable, all necessary)

- a.
- ☐
- Computer Readable Form (CRF) [Request to Open New Disk File]

- b. Specification Sequence Listing on:

- i.
- ☐
- CD-ROM or CD-R (2 copies); or

- ii.
- ☒
- paper

- c.
- ☒
- Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9.
- ☐
- Assignment Papers (cover sheet & document(s))

- 10.
- ☐
- 37 CFR 3.73(b) Statement
- ☐
- Power of Attorney
-
- (when there is an assignee)

- 11.
- ☐
- English Translation Document (if applicable)

- 12.
- ☐
- Information Disclosure Statement (IDS)/PTO-1449
- ☐
- Copies of IDS
-
- Citations

- 13.
- ☒
- Preliminary Amendment

- 14.
- ☒
- Return Receipt Postcard (MPEP 503)
-
- (Should be specifically itemized)

- 15.
- ☐
- Certified Copy of Priority Document(s)
-
- (if foreign priority is claimed)

- 16.
- ☐
- Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach
-
- form PTO/SB/35 or its equivalent.

- 17.
- ☒
- Other:
- Authorization under 37 C.F.R. § 1.136(a)(3); and Paper Copy
of Substitute Sequence Listing

- ☒
- Other:
- The name of the assignee is: Human Genome Sciences, Inc.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:☒ Continuation ☐ Divisional
Prior application information:☐ Continuation-in-Part (CIP)
Examiner Ulm, J.of prior application No: 09/314,006
Group/Art Unit: 1646For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is
considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be
relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

Customer No. 28730

or ☐ Correspondence address below28730
(Insert Customer No. or Attach bar code label here)

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.				
ADDRESS	Attorneys at Law				
CITY		STATE		ZIP CODE	
COUNTRY		TELEPHONE		FAX	

NAME (Print/Type)	Gaby L. Longsworth	Registration No. (Attorney/Agent)	47,756
SIGNATURE	<u>Gaby Longsworth</u>	Date	November 20, 2001

Burden Hour Statement: this form is estimated to take 06 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount
of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND
FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$740.00)**Complete if Known**

Application Number	To be assigned
Filing Date	Herewith
First Named Inventor	Li et al.
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	1488.0840002/EKS/GLL

METHOD OF PAYMENT (check one)

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number	19-0036
Deposit Account Name	Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐
- Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☒
- Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☒ Other*
*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) 740.00**2. EXTRA CLAIM FEES**

Extra	Fee from below	Fee Paid
Total Claims 20 - 20** = 0 X 18 = 0		
Indep. Claims 3 - 3** = 0 X 84 = 0		
Multiple Dependent		

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
108	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**
Large Entity Small Entity

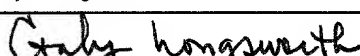
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Gaby L. Longworth	Registration No. (Attorney/Agent)	47,756	Telephone	202-371-2600
Signature				Date	November 20, 2001

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STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

November 20, 2001

WRITER'S DIRECT NUMBER:

(202) 218-7824

INTERNET ADDRESS:

GLONGS@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Continuation Application
Appl. No. To be assigned; Filed: Herewith
(Continuation of U.S. Appl. No. 09/314,006; Filed: May 19, 1999)
For: **Human Amine Receptor**
Inventors: LI *et al.*
Our Ref: 1488.0840002/EKS/GLL

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17) (*in duplicate*);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

Human Amine Receptor

and naming as inventors:

Yi LI
Steven M. RUBEN

Commissioner for Patents

November 20, 2001

Page 2

the application consisting of:

- a. A specification containing 56 total pages:
 - i. 51 pages of description prior to the claims, including a sequence listing on pages 47 to 51;
 - ii. 4 pages of claims (20 claims);
 - iii. a one (1) page abstract;
- b. 3 sheets of drawings: (Figures 1-3);
- c. A copy of the executed Declaration, as filed in U.S. Appl. No. 08/467,559;
4. Paper copy of Substitute Sequence Listing (9 pages);
5. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
6. Preliminary Amendment;
7. Request to Open New Disk File;
8. Application Data Sheet;
9. Our check No. 33265 for \$740.00 to cover the filing fee for patent application; and
10. Two (2) return postcards.

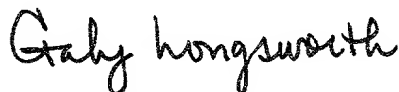
It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Commissioner for Patents
November 20, 2001
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Gaby L. Longsworth
Agent for Applicants
Registration No. 47,756

EKS/GLL/eak

Enclosures

P:\USERS\GLongs\1488\0840002\cvltr.11-2-01
SKGF ver.6/20/00 mac

11/20/01 11:36:50 AM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LI *et al.*

Appl. No. To be assigned

Filed: Herewith

For: **Human Amine Receptor**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1488.0840002/EKS/GLL

Request to Open New Disk File

Commissioner for Patents
Washington, D.C. 20231

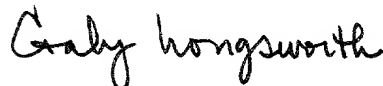
Sir:

Applicants request that a new disk file be opened for the above-cited application.

The Sequence Listing disk submitted on **June 23, 1999**, in the parent, Application No. **09/314,006**, filed **May 19, 1999**, contains the identical sequence information as that in the present application. Applicants also submit herewith a paper copy of the substitute sequence listing for the present application. The paper copy of the substitute sequence listing and the computer readable copy are the same and do not introduce new matter.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Gaby L. Longsworth
Agent for Applicants
Registration No. 47,756

Date: November 20, 2001
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